DEPARTMENT OF HEALTH AND HUMAN SERVICES (HHS)
Administration on Aging (AoA)

National Legal Assistance and Elder Rights Projects
FY 2002 Program Announcement and Application Instructions (AoA-02-05)

I. BACKGROUND AND PRIORITY AREA DESCRIPTION

A. Background

Summary. AoA announced in the *Federal Register* on May 14, 2002, that it would hold a competition for grants to support National Legal Assistance and Elder Rights Projects. These grants are aimed at building and strengthening the national system of legal assistance and improving the quality and accessibility of the legal assistance provided to older people. The accompanying set of materials includes a description of the priority area and all the instructions necessary to prepare and submit a grant proposal to compete for these project awards.

Statutory Authority. The statutory authority for grants under this program announcement is contained in Title IV, Section 420 of the Older Americans Act (the Act), as amended in 2000 (P.L. 106-501).

Application Due Date. The deadline date for the submission of applications is June 28, 2002.

Project Funding, Duration and Match. AoA plans to fund approximately three (3) to five (5) new projects through this competition. Each project will be funded at a federal share of approximately $150,000 - $250,000 per year for a project period of three years, contingent on the availability of federal funds. Grantees are required to cover at least 25% of the total program costs from non-federal cash or in-kind resources - see instructions on AoA match requirement in Section III.A.

Eligible Applicants. Under Section 420(c) of the Act as amended in 2000, applicants must be national nonprofit organizations experienced in providing support and technical assistance on a nationwide basis to states, area agencies on aging, legal assistance providers, ombudsmen, elder abuse prevention programs, and other organizations interested in the legal rights of older individuals.

Priority Target Populations and Organizations. Applicants must involve community-based organizations in the planning and implementation of their project. Applicants must also include disadvantaged populations, including limited-English speaking populations, as a target population for their proposed intervention.

For Further Information. Brandt Chvirko, U.S. Administration on Aging, Office for Consumer Choice and Protection, 330 Independence Avenue, S.W., Room 4749, Washington, DC 20201, telephone: (202) 619-0067 or (202) 619-0011, e-mail: brandt.chvirko@aoa.gov.

B. Priority Area Description

a. <u>Background</u>

While conditions for older Americans have improved markedly since initial passage of the Act, many seniors still are denied their basic rights and benefits, and suffer abusive situations ranging from financial exploitation to severe neglect. They may need advocacy on their behalf because their physical or mental disabilities, social isolation, limited educational attainment or limited financial resources prevent them from being able to protect, or advocate for, themselves.

AoA supports state and community-based elder rights networks that protect vulnerable seniors and provide them with critical information. These networks are made up of state legal assistance developers, area agencies on aging, legal assistance programs and hotlines, elder abuse prevention programs, and long-term care ombudsmen. Community-based legal assistance programs are an integral component of these networks because they provide seniors with information and legal representation in critical areas such as guardianship, advance directives, pensions and health benefits, housing, consumer protection, and public benefits. They also educate other elder rights advocates about these issues. State legal assistance developers also serve an important role because they enhance and coordinate the services of local legal programs.

The Internet and other new technologies have greatly enhanced the ability of these networks to coordinate their activities and provide information and services to seniors. Legal program web sites can provide detailed information to attorneys and advocates, while also including self-help documents for seniors that are easy-to-understand and in multiple languages. Listservs, broadcast e-mails, teleconferencing, videoconferencing, and web-based training and curricula all improve the ability of elder rights advocates to coordinate their efforts and share information about their products and services. Ultimately, technology enhances the quality and the quantity of elder rights information and services, and it extends their reach to underserved populations such as ethnic minorities and low-income and rural seniors.

AoA is soliciting applications under this program announcement to carry out National Legal Assistance and Elder Rights Projects. These projects are aimed at enhancing and coordinating the elder rights information and legal assistance that is provided to seniors. To that end, the projects will incorporate technology to provide training and technical assistance, written materials, and case consultations to state and area agencies on aging and community-based and/or faith-based organizations that provide legal or other supportive services directly to seniors. Just as important, these projects will track outcomes to determine the impact these activities have on the lives of seniors. These activities will help AoA to enhance and coordinate state and local elder rights networks and strengthen the national system of legal assistance for vulnerable older adults.

b. Project Objectives

AoA provides formula grants to states under OAA Title IIIB and Title VII to carry out legal assistance and elder abuse prevention programs. States use this funding to support state and community-based elder rights programs and activities. The grants being offered under this announcement are for projects that will generate and disseminate knowledge that can improve the quality and effectiveness of these state and local efforts. The projects will also tailor their activities and work products to meet the needs of ethnic minorities and low-income and rural seniors.

Projects will have two principal objectives. First, enhancing the leadership capacity of state and area agencies on aging to support elder rights activities through such efforts as:

- Assisting in the development of a state-wide elder rights advocacy system, involving a range of agencies engaged in elder rights activities;
- Assisting in the development of responsive state-wide systems of legal assistance, including support for AAA supported legal assistance projects; and
- Assisting area agencies on aging in integrating legal assistance programs for older people into existing community based service delivery systems.

Second, improving the quality and accessibility of the legal assistance provided to older people through such efforts as:

- Providing training to state and area agencies on aging and community-based and/or faith-based organizations that provide legal or other supportive services directly to seniors;
- Providing substantive assistance, including case consultation and advice on systems development and implementation, to those agencies and staff that provide legal assistance to older people; and
- Publishing written information on a periodic or one time basis for legal assistance and other elder rights providers.

Title IV, Section 420 of the Act specifies four component activities of a national legal assistance support system. Each activity is a valuable resource in developing systems of legal assistance for older people, and in improving the quality and accessibility of such services. AoA expects that the projects funded under this program announcement will encompass one or more of these four components:

(1) Case Consultations

Grantee will provide case consultation to Title III legal assistance providers. The grantee will document and analyze issues and cases that have precedent setting implications and make that information available to legal service providers and state and area agencies on aging nationwide.

(2) *Training*

The applicant will provide for the education and training of professionals, volunteers, and/or older individuals concerning elder rights, the requirements and benefits of specific laws, and methods for enhancing the coordination of services.

(3) *Provision of substantive legal advice and assistance.*

Grantee will provide substantive legal advice on issues of importance to older individuals. The substantive areas include, but are not limited to, health care, long-term care, abuse and neglect, guardianship, housing, insurance benefits, age discrimination, utilities, consumer protection, and public benefits. The grantee should identify a suitable reporting format (newsletter, issue brief, policy paper, etc.) and advertise and disseminate these documents.

(4) *Assistance in the design, implementation, and administration of legal assistance delivery and elder rights advocacy systems to local providers of legal assistance for older individuals.*

Grantees will work with state and area agencies on aging to expand and improve delivery of legal assistance services and elder rights advocacy programs statewide. Grantee must demonstrate how regular on-going assistance and consultation will be provided in areas such as targeting, access, reporting, development of outcome measures, selection of providers, priority setting, and use of pro bono resources and volunteers.

c. General Requirements

The following requirements apply to all proposals. Applicants should review their proposals against the list of requirements to ensure that each requirement has been addressed in the proposal.

1. Project Planning Process

- Applicants are expected to demonstrate a familiarity with the history, extant literature, current status, and policy considerations bearing on the development of legal assistance programs and the roles of the national, state, and local agencies responsible for their operation.

- Applicants are expected to present a clear connection between identified system gaps and needs and the proposed activities. Proposals should clearly describe the nature of the activities to be undertaken, how they address system gaps and identified issues, and how they will assist in achieving overall project goals and objectives. Clarification as to why these specific activities were selected is appropriate (i.e. has this approach been successful in other settings? Does the research suggest this direction?).

- Applicants must provide detailed specifics about the goals, implementation strategies, and outcomes of the first year of the grant. Project emphasis and anticipated major activities for years two and three should also be identified.

- Applicants must provide a time-line chart or its equivalent to list project activities in chronological order and show the target dates for the projected accomplishments.

- Projects must be cost-effective and programmatically efficient, maximizing Federal, state and local resources.

- Applicants should indicate a plan for achieving national coverage and provide detailed descriptions of specific products or outcomes proposed for development or modification.

2. Project Implementation & Management

- Applicants must provide adequate program development support and leadership. AoA expects that throughout the grant period, the Project Director will have involvement in and substantial knowledge about all aspects of the project.

- Applicants should describe their dissemination plan and anticipated products. AoA expects that nationwide dissemination of products and knowledge will occur.

- When training is a significant component of the proposal, AoA expects to see a detailed training plan, including who is to be trained, who will provide the training and their general qualifications, and how the training addresses identified service and system gaps.

- Applicants must demonstrate how they will incorporate technology to advertise their programs and services, provide training and/or technical assistance, coordinate the activities of elder rights advocates, and disseminate legal information and work products.

- Applicants must describe how they will maintain and update their web site and keep it responsive to the information needs of a range of consumers, including seniors, elder rights advocates, researchers, policy makers, and community-based legal services providers.

- New and innovative approaches to improving legal assistance and will be viewed positively in evaluating grant applications.

- All applicants must demonstrate how they will enhance the ability of elder rights advocates to reach underserved seniors (e.g., translating work products).

3. Reporting

- Grantees are required to submit two progress reports each year. A semi-annual progress report, consisting of a narrative and Financial Status Report (FSR, form #269), covering the first six months of the project. An additional progress report, covers each subsequent six month period. A final project report is due 90 days after the completion of the grant project.

- Organizations must have adequate capacity to meet all reporting requirements and time lines. Failure to meet reporting requirements will result in suspension or termination of the cooperative agreement.

II. INSTRUCTIONS FOR COMPLETING THE PROJECT NARRATIVE

The Project Narrative is the most important part of the application, since it will be used as the primary basis by AoA to determine whether or not your project meets the minimum requirements for grants under Title IV of the Older Americans Act.

A. Standard Components

The Project Narrative should provide a clear and concise description of your project. AoA recommends that your project narrative include the following components:

1. **Executive Summary.** This section should include a brief - **no more than one page maximum** - description of the proposed project, including: the problem or issue to be addressed; the project's goal(s); the proposed intervention; anticipated outcomes; and the key audiences that will benefit from the project and its findings. (Suggested Length – not to exceed one page.)

2. **Problem Statement.** This section should describe, in both quantitative and qualitative terms, the nature and scope of the particular problem or issue the proposed intervention is designed to address, including how the project will potentially affect the elderly population and/or their caregivers (including specific subgroups within those populations), and possibly the health care and social services systems (e.g., the use of health care and/or nursing home services.) (Suggested Length and Format: two to four paragraphs.)

3. **Goal(s) and Objectives.** This section should consist of a description of the project's goal(s) and major objectives. NOTE: Unless the project involves multiple, complex interventions, we recommend you have only one overall goal. (Suggested Length and Format: Preferably, include this information in the attached project work plan grid; alternatively, use a bulleted format or describe in one paragraph.)

4. **Proposed Intervention.** This section should provide a clear and concise description of the intervention you are proposing to use to address the problem described in section 2. You should also describe the rationale for using the particular intervention, including factors such as: "lessons learned" for similar projects previously tested in your community, or in other areas of the country; factors in the larger environment that have created the "right conditions" for the intervention (e.g., existing social, economic or political factors that you'll be able to take advantage of, etc.). Also note any major barriers you anticipate encountering, and how your project will be able to overcome those barriers. Be sure to describe the role and makeup of any strategic partnerships you plan to involve in implementing the intervention, including other organizations, funders, and/or consumer groups. (Suggested Length and Format: Four to six paragraphs.)

5. **Special Target Populations and Organizations.** This section should describe how you plan to involve faith-based and/or community-based organizations in a meaningful way in the planning and implementation of the proposal project. This section should also describe how the proposed intervention will target disadvantaged populations, including limited-English speaking populations.

6. **Outcome(s).** This section should clearly identify the measurable outcome(s) that will result from the project. (NOTE: AoA will only fund projects that include measurable outcomes – please see below for a definition of a measurable outcome.). You should also describe how the project might benefit the field at large, e.g., how the findings could help other organizations address the same or similar problems. (Suggested Length and Format: You may describe your measurable outcome(s) using the attached work plan grid, or you can explain each one in a paragraph. For your description of how the project might benefit the field at large, please provide one to three paragraphs.)

   NOTE: You should focus on describing what outcome(s) will be produced by the project. Please use the Evaluation section below to describe how you will measure and report the outcome(s).

   DEFINITION OF A MEASURABLE OUTCOME:

   A "measurable outcome" is an observable end-result that describes how a particular intervention benefits seniors (or advocates, professionals, etc.). It demonstrates the "impact" of the intervention (e.g., a change in a client's financial, health and/or functional status, mental well-being, knowledge, skill, attitude, awareness or behavior.) It can also describe a change in the degree to which consumers exercise choice over the types of services they receive, or whether they are satisfied with the way a service is delivered. Additional examples include: a change in the responsiveness or cost-effectiveness of a service delivery system; a new model of support or care that can be replicated in the aging network; or new knowledge that can contribute to the field of aging.

   A measurable outcome IS NOT a measurable output, such as: the number of clients served; the number of training sessions conducted; the number of service units provided; or tangible products and/or reports.

   NOTE: Your application will be scored on the clarity and nature of your proposed outcome(s), NOT on the number of outcomes you cite. It is appropriate for a project to have only ONE outcome.

7. **Project Management.** This section should include a clear delineation of the roles and responsibilities of project staff, consultants and partner organizations, and how they will contribute to achieving the project's objectives and outcomes. It should specify who would have day-to-day responsibility for key tasks such as: leadership of project; monitoring the project's on-going progress, preparation of reports; communications with other partners and AoA.

It should also describe the approach that will be used to monitor and track progress on the project's tasks and objectives. (Suggested Length and Format: Three paragraphs.)

8. **Evaluation**. This section should describe the methods that you will use to evaluate whether or not the proposed intervention achieves its measurable outcome(s). You should describe the quantitative and qualitative tools and techniques that you will employ to measure the outcome(s), and how you will identify and document the "lessons learned." (Suggested Length and Format: Five to eight paragraphs.)

9. **Dissemination.** This section should describe the method that will be used to disseminate the project's results and findings in a timely manner and in easily understandable formats, to parties who might be interested in using the results of the project to inform practice, service delivery, program development, and/or policy-making, including and especially those parties who would be interested in replicating the project. (Suggested Length – three to five paragraphs.)

10. **Work Plan.** The Project Work Plan should reflect and be consistent with the Project Narrative and Budget. It should include a statement of the project's overall goal, anticipated outcome(s), key objectives, and the major tasks / action steps that will be pursued to achieve the goal and outcome(s). For each major task/action step, the work plan should identify the timeframes involved (including start- and end-dates), and the lead person responsible for completing the task. A Sample Work Plan format for your use is included in the Attachments. (Suggested Length and Format: use the sample grid; alternatively, not more than two pages preferably presented in bulleted format.)

11. **Organizational Capability Statement and Vitae for Key Project Personnel.** Each application should include an organizational capability statement and vitae for key project personnel. The organizational capability statement should describe how the applicant agency (or the particular division of a larger agency which will have responsibility for this project) is organized, the nature and scope of its work and/or the capabilities it possesses. This description should cover capabilities of the applicant agency not included in the program narrative, such as any current or previous relevant experience and/or the record of the project team in preparing cogent and useful reports, publications, and other products. If appropriate, include an organization chart showing the relationship of the project to the current organization. Include short vitae for key project staff only. Also include information about any contractual organization(s) that will have a significant role(s) in implementing project and achieving project goals.

12. **Letters of Commitment From Key Participating Organizations and Agencies.** Include confirmation of the commitments to the project (should it be funded) made by key collaborating organizations and agencies in this part of the application. Any organization that is specifically named to have a significant role in carrying out the project should be considered an essential collaborator.

B. Required Format and Length

The Project Narrative must be double-spaced, on single-sided 8 ½" x 11" plain white paper with 1" margins on both sides, and a font size of not less than 11. You can use smaller font sizes to fill in the Standard Forms and Sample Formats. The suggested length for the Project Narrative is ten to twenty pages; twenty pages is the maximum length allowed. AoA will not accept applications with a Project Narrative that exceeds 20 pages, excluding the Project Work Plan. NOTE: The Project Work Plan, Letters of Cooperation, and Vitae of Key Personnel are not counted as part of the Project Narrative for purposes of the 20-page limit, but all of the other sections noted above are included in the limit, including Sections, 1 through 8, and Section 10 except for the Vitae.

III. INSTRUCTIONS FOR COMPLETING STANDARD FORMS

This section provides step-by-step instructions for completing the four (4) standard federal forms required by as part of your grant application, including special instructions for completing Standard Budget Forms 424 and 424A. Standard Forms 424 and 424A are used for a wide variety of federal grant programs, and federal agencies have the discretion to require some or all of the information on these forms. AoA does not require all the information on these Standard Forms. Accordingly, please use the instructions below in lieu of the standard instructions attached to SF 424 and 424A to complete these forms. Please note that single-sided copies of all required forms must be used in submitting your application.

A. Standard Form 424

Item 1. Mark "Non-Construction" under "Application".

Item 2. Fill in the date you submit the application. The three "Identifier" boxes to the right of Items 2 through 4 should be left blank.

Item 3. Not applicable – Mark "NA".

Item 4. Leave blank.

Item 5. Enter the legal name of the applicant organization; the name of the primary organizational unit responsible for managing the project; the applicant's address; and the name and telephone number of the person to contact on matters related to this application.

Item 6. Enter the Employer Identification Number (EIN) of the applicant organization that has been assigned to the organization by the Internal Revenue Service. Please include the suffix to the EIN if known.

Item 7. Enter the appropriate letter in the box provided.

Item 8. Check the "New" box.

Item 9. Enter - Administration on Aging

Item 10. Enter – 93.048

Item 11. Enter the title of the project.

Item 12. List only one entity - it should be the largest political entity affected.

Item 13. Enter the start and end date for the upcoming budget period for the project. (NOTE: The start date usually coincides with the date AoA issues the grant award to the applicant organization, with the end date usually being 12 months later.)

Item 14. Enter the Congressional District(s) affected by the project.

Item 14a. Enter the Congressional District where the applicant organization is located.

Item 14b. Leave Blank

Item 15. **NOTE:** Applicants should review cost sharing or matching principles contained in Subpart C of 45 CFR Part 74 or 45 CFR Part 92 before completing Item 15 and the Budget Information Sections A, B and C noted below.

All budget information entered under item 15 should cover the upcoming budget period. For sub-item 15a, enter the federal funds being requested. Sub-items 15b-15e are considered matching funds. The dollar amounts entered in sub-items 15b-15f must total at least 1/3rd of the amount of federal funds being requested (the amount in 15a). For a full explanation of AoA's match requirements, see the information in the box below. For sub-item 15f, enter only the amount, if any, that is going to be used as part of the required match.

There are three types of match: 1.) non-federal cash; 2.) non-federal non-cash (i.e., in-kind); and program income. In general, costs borne by the applicant and cash contributions of any and all third parties involved in the project, including sub-grantees, contractors and consultants, are consider cash matching funds. Generally, most contributions from third parties will be non-cash (i.e., in-kind) matching funds. Examples of non-cash (in-kind) match include: volunteered time and use of facilities to hold meetings or conduct project activities. A third form of non-federal match is projected program income derived from activities of the project such as participant fees and sale of publications. Only program income that is to be used as part of the required match should be shown on Line 15.

AOA's Match Requirement

Under this and other OAA programs, AoA will fund no more than 75 % of the project's total cost, which means the applicant must cover at least 25% of the project's total cost with non-federal resources. In other words, for every three (3) dollars received in federal funding, the applicant must contribute at least one (1) dollar in non-federal resources toward the project's total cost (i.e., the amount on line 15g.). This "three-to-one" ratio is reflected in the following formula which you can use to calculate your minimum required match:

$$\frac{\textbf{Federal Funds Requested (i.e., amount on line 15a)}}{\textbf{3}} = \textbf{Minimum Match Requirement}$$

For example, if you request $100,000 in federal funds, then your <u>minimum</u> match requirement is $100,000/3 or $33,333.

A common error applicants make is to match 25% of the federal share, rather than 25% of the project's total cost, so be sure to use one of the formulas above to calculate your match requirement.

If the required non-federal share is not met by a funded project, AoA will disallow any unmatched federal dollars.

NOTE: **Indirect charges** may only be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency; or (2) the applicant is a state or local government agency. State governments should enter the amount of indirect costs determined in accordance with DHHS requirements.

<u>Item 16</u>. Check b. No - Program is not covered by E.O. 12372

<u>Item 17</u>. This item applies to the applicant organization. Categories of debt include delinquent audit disallowances, loans, and taxes.

<u>Item 18</u>. To be signed by the authorized representative of the applicant organization. A document attesting to that sign-off authority must be on file in the grantee's office.

B. Standard Form 424A

NOTE: Standard Form 424A is designed to accommodate applications for multiple grant programs; thus, for purposes of this AoA program, many of the budget item columns and rows are not applicable. For your convenience, these non-applicable columns and rows have been shaded-out on the form. You should only consider and respond to the budget items for which guidance is provided below.

Section A - Budget Summary

Line 5: Leave columns (c) and (d) blank. Enter TOTAL federal costs in column (e) and total non-federal costs (including third party in-kind contributions and any program income to be used as part of the grantee match) in column (f). Enter the sum of columns (e) and (f) in column (g).

Section B - Budget Categories

Column 3: Enter the breakdown of how you plan to use the federal funds being requested by object class category (see instructions for each object class category below).

Column 4: Enter the breakdown of how you plan to use the non-federal share by object class category.

Column 5: Enter the total funds required for the project (the sum of Columns 3 and 4) by object class category.

Separate Budget Justification Requirement

You must submit a separate budget justification as part of your application. **A blank sample format (and one with examples) has been included in the attachments for your use in developing and presenting your Budget Justification.** In your budget justification, you should include a breakdown of the budget which shows the costs for all of the object class categories noted in Section B, across three columns: federal; non-federal cash; and non-federal in-kind. The justification should fully explain and justify the costs in each of the major budget items for each of the object class categories, as described below. Third party in-kind contributions and program income designated as non-federal match contributions should be clearly identified and justified separately from the justification for the budget line items. The full budget justification should be included in the application immediately following the SF 424 forms.

Line 6a:Personnel: Enter total costs of salaries and wages of applicant/grantee staff. Do not include the costs of consultants; consultant costs should be included under 6h - Other. In the Justification: Identify the project director, if known. Specify the key staff, their titles, brief summary of project related duties, and the percent of their time commitments to the project in the budget justification.

Line 6b:Fringe Benefits: Enter the total costs of fringe benefits unless treated as part of an approved indirect cost rate. In the Justification: Provide a break-down of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement insurance, etc.

Line 6c: Travel: Enter total costs of out-of-town travel (travel requiring per diem) for staff of the project. Do not enter costs for consultant's travel - this should be included in line 6h. In the Justification: Include the total number of trips, destinations, purpose, length of stay, subsistence allowances and transportation costs (including mileage rates).

Line 6d: Equipment: Enter the total costs of all equipment to be acquired by the project. For all grantees, "equipment" is non-expendable tangible personal property having a useful life of more than two years and an acquisition cost of $5,000 or more per unit. If the item does not meet the $5,000 threshold, include it in your budget under Supplies, line 6e. In the Justification: Equipment to be purchased with federal funds must be justified as necessary for the conduct of the project. The equipment must be used for project-related functions; the equipment, or a reasonable facsimile, must not be otherwise available to the applicant or its sub-grantees. The justification also must contain plans for the use or disposal of the equipment after the project ends.

Line 6e: Supplies: Enter the total costs of all tangible expendable personal property (supplies) other than those included on line 6d. In the Justification: Provide general description of types of items included.

Line 6f: Contractual: Enter the total costs of all contracts, including (1) procurement contracts (except those which belong on other lines such as equipment, supplies, etc.). Also include any contracts with organizations for the provision of technical assistance. Do not include payments to individuals on this line. In the Justification: Attach a list of contractors indicating the name of the organization, the purpose of the contract, and the estimated dollar amount. If the name of the contractor, scope of work, and estimated costs are not available or have not been negotiated, indicate when this information will be available. **Whenever the applicant/grantee intends to delegate a substantial part (one-third, or more) of the project work to another agency, the applicant/grantee must provide a completed copy of Section B, Budget Categories for each contractor, along with supporting information and justifications.**

Line 6g: Construction: Leave blank since construction is not an allowable cost under this AoA program.

Line 6h:Other: Enter the total of all other costs. Such costs, where applicable, may include, but are not limited to: insurance, medical and dental costs (i.e. for project volunteers this is different from personnel fringe benefits); non-contractual fees and travel paid directly to *individual* consultants; local transportation (all travel which does not require per diem is considered local travel); postage; space and equipment rentals/lease; printing and publication; computer use; training and staff development costs (i.e. registration fees). If a cost does not clearly fit under another category, and it qualifies as an allowable cost, then rest assured this is where it belongs. In the Justification: Provide a reasonable explanation for items in this category.

For individual consultants, explain the nature of services provided and the relation to activities in the work plan. Describe the types of activities for staff development costs.

Line 6i: Total Direct Charges: Show the totals of Lines 6a through 6h.

Line 6j: Indirect Charges: Enter the total amount of indirect charges (costs), if any. If no indirect costs are requested, enter "none." Indirect charges may be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency; or (2) the applicant is a state or local government agency. State governments should enter the amount of indirect costs determined in accordance with DHHS requirements

Line 6k: Total: Enter the total amounts of Lines 6i and 6j.

Line 7: Program Income: As appropriate, include the estimated amount of income, if any, you expect to be generated from this project that you wish to designate as match (equal to the amount shown for Item 15(f) on Form 424). **Note:** Any program income indicated at the bottom of Section B and for item 15(f) on the face sheet of Form 424 will be included as part of non-Federal match and will be subject to the rules for documenting completion of this pledge. If program income is expected, but is not needed to achieve matching funds, **do not** include that portion here or on Item 15(f) of the Form 424 face sheet. Any anticipated program income that will not be applied as grantee match should be described in the Level of Effort section of the Program Narrative.

Section C - Non-Federal Resources

Line 12: Enter the amounts of non-Federal resources that will be used in carrying out the proposed project, by source (Applicant; State; Other) and enter the total amount in Column (e). Do not include program income unless it is used to meet the match requirement. Keep in mind that if program income used to meet the match requirement and the projected level of program income is not met, thereby decreasing the level of match, the amount of federal funds available to the grantee may be reduced if the match falls below required levels.

Section D - Forecasted Cash Needs - Not applicable.

Section E - Budget Estimate of Federal Funds Needed for Balance of the Project

Line 20: NOTE: Leave this line blank. Section E is relevant only for **multi-year** grant applications, where the project period is 24 months or longer. This section does not apply to grant awards where the project period is less than 17 months.

Section F - Other Budget Information

Line 22: Indirect Charges: Enter the type of indirect rate (provisional, predetermined, final or fixed) to be in effect during the funding period, the base to which the rate is applied, and the total indirect costs. **Include a copy of your current Indirect Cost Rate Agreement.**

Line 23: Remarks: Provide any other comments deemed necessary.

C. Standard Form 424B - Assurances

This form contains assurances required of applicants under the discretionary funds programs administered by the Administration on Aging. Please note that a duly authorized representative of the applicant organization must certify that the organization is in compliance with these assurances.

D. Standard Form CD-511 – Certifications

This form contains certifications that are required of the applicant organization regarding (a) lobbying; (b) debarment, suspension, and other responsibility matters; and (3) drug-free workplace requirements. Please note that a duly authorized representative of the applicant organization must attest to the applicant's compliance with these certifications.

IV. APPLICATION SCREENING CRITERIA

All applications will be screened to assure a level playing field for all applicants. Applications that fail to meet with of the two screening criteria described below will **not** be reviewed and will receive **no** further consideration.

In order for an application to be reviewed, it must meet the following screening requirements:

1. Applications must be postmarked by midnight, June 28, 2002, or hand-delivered by 5:30 p.m. Eastern Time, on June 28, 2002, or submitted electrically by midnight, June 28, 2002.

   Electronic submissions must be sent to: http://www.aoa.gov/egrants. NOTE: For electronic submissions, the required signature form must be postmarked by midnight, June 28, 2002, or hand-delivered by 5:30 p.m., Eastern Time, on June 28, 2002.

Paper submissions must be sent or hand-delivered to:

Department of Health and Human Services
Administration on Aging
Grants Management Division
330 Independence Avenue, SW
Cohen Bldg., Room 4260
Washington, DC 20201
Attention: Margaret A. Tolson, Director

2. The Project Narrative section of the application must **not** exceed 20 pages. NOTE: The Project Work Plan, Letters of Cooperation, and Vitae of Key Project Personnel **are not counted** as part of the Project Narrative for purposes of the 20-page limit. The components counted as part of the 20 page limit include:

   - Executive Summary
   - Problem Statement
   - Goal(s) and Objective(s)
   - Proposed Intervention
   - Special Target Populations and Organizations
   - Outcomes
   - Project Management
   - Evaluation
   - Dissemination
   - Organizational Capability

V. APPLICATION REVIEW PROCESS AND EVALUATION CRITERIA

An independent review panel of at least three individuals will evaluate applications that pass the screening. These reviewers are experts in their field, and are drawn from academic institutions, non-profit organizations, state and local government, and federal government agencies other than AoA. Based on the specific programmatic considerations set forth above in the priority area, the reviewers will comment on and score the applications, focusing their comments and scoring decisions on the criteria below.

Applications are scored by assigning a maximum of 100 points across four criteria:

1. Purpose and Need for Assistance — Weight: 20 points

   a. Does the proposed project clearly and adequately respond to the priority area, as described in Part 1 of this Program Announcement? (10 points).

b. Does the application adequately and appropriately describe and document the key problem(s)/condition(s) relevant to its purposes? Is the proposed project justified in terms of the most recent, relevant, and available information and knowledge? (10 points)

2. Approach, Work Plan and Activities Weight: 30 points

a. Is the intervention clearly defined? Does it reflect a coherent and feasible approach for successfully addressing the identified problem and achieving the identified outcome(s)? Does the project take into account barriers and opportunities that exist in the larger environment that may impact on the project's success? Does the intervention optimize the use of potential partnerships with other organizations and/or consumer groups, as appropriate? (10 points)

b. Is the project work plan clear and comprehensive? Does it include sensible and feasible timeframes for the accomplishment of tasks presented? Does the work plan include specific objectives and tasks that are linked to measurable outcomes? Does the proposal include a clear and coherent management plan? Are the roles and responsibilities of project staff, consultants and partners clearly defined and linked to specific objectives and tasks? Are the qualifications of the project staff, consultants and/or partners, and the proposed level of effort, adequate to carryout the project? (10 points)

c. Does the application describe how local community-based organizations will be involved in a meaningful way in the planning and implementation of the proposed project? Does the proposed include disadvantaged populations, including limited-English speaking populations in its target population? (10 points)

3. Project Outcomes, Evaluation and Dissemination Weight: 30 points

a. Are the expected project benefits/results clear, realistic, and consistent with the objectives and purpose of the project? Are the anticipated outcomes of the proposed project likely to be achieved and will they significantly benefit the populations affected by the intervention, and the field of aging as a whole? Are the proposed outcomes quantifiable and measurable, consistent with the definition of a project outcome contained in Section II of the Program Announcement? (10 points)

b. Does the project evaluation reflect a thoughtful and well-designed approach that will be able to successfully measure whether or not the project has achieved its proposed outcome(s)? Does the plan include the qualitative and/or quantitative methods necessary to reliably measure outcomes? Is the evaluation also designed to capture "lessons learned" from the overall effort that might be of use to others in the field of aging, especially those who might be interested in replicating the project? (10 points)

c. Will the dissemination plan get relevant and easy to use information in a timely manner to parties that might be interested in making use of its findings, particularly to those who might want to replicate the project? Does the plan incorporate technology to communicate project outcomes and products to all appropriate audiences? (10 points)

4. Level of Effort:
   Weight: 20 points

a. Do the proposed project director(s), key staff and consultants have the background, experience, and other qualifications required to carry out their designated roles? Are letters from participating organizations included, as appropriate, and do they express the clear commitment and areas of responsibility of those organizations, consistent with the work plan description of their intended roles and contributions? (10 points)

b. Is the budget justified with respect to the adequacy and reasonableness of resources requested? Is the time commitment of the proposed director and other key project personnel sufficient to assure proper direction, management and timely completion of the project? Are budget line items clearly delineated and consistent with work plan objectives? (10 points)

ATTACHMENTS

Sample Budget Justification Format with Examples

Sample Budget Justification Format

Sample Work Plan Format

Application Package Checklist

Budget Justification, Page 1 – Sample Format with EXAMPLES

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel	$40,000		$5,000	$45,000	Project Supervisor (name) = .3FTE @ $50,000/yr = $15,000 Project Director (name) = 1FTE @ $40,000 = $30,000
Fringe Benefits	$14,000	0	0	$14,000	Fringes on Supervisor and Director @ 28% of salary. FICA (7.65%) = $3,825 Health (12%) = $6,000 Dental (5%) = $2,500 Life (2%) = $1,000 Workers Comp Insurance (.75%) = $ 375 Unemployment Insurance (.6%) = $ 300
Travel	$3,000	0	$ 967	$3,967	Travel to Annual Grantee Meeting: Airfare: 1 RT x 2 people x $750/RT = $1,500 Lodging: 3 nights x 2 people x $100/night = $ 600 Per Diem: 4 days x 2 people x $40/day = $ 320 Out-of-Town Project Site Visits Car mileage: 3 trips x 2 people x 350 miles /trip x $ .365/mile = $ 767 Lodging: 3 trips x 2 people x 1 night/ trip x $50/night = $300 Per Diem: 3 trips x 2 people x 2days/trip x $40/day = $480

Budget Justification, Page 2 - Sample Format with EXAMPLES

Object Class Category	**Federal Funds**	*Non-Federal Cash*	**Non-Federal In-Kind**	*TOTAL*	Justification
Equipment	0	0	0	0	No equipment requested
Supplies	$1,500		$2,000	$3,500	Laptop computer for use in client intakes = $1,340 Consumable supplies (paper, pens, etc.) $100/mo x 12 months = $1,200 Copying $80/mo x 12 months = $, 960
Contractual	$200,000	$50,000	0	$250,000	Contracts to A,B,C direct service providers (name providers) adult day care contractor = $75,000 respite care contractor in home= $75,000 respite care contractor-NF = $50,000 personal care/companion provider = $50,000 See detailed budget justification for each provider (and then provide it)

Budget Justification, Page 3 – Sample Format with EXAMPLES					
Other	$10,000	$8,000	$19,800	$37,800	Local conference registration fee (name conference) = $ 200 Printing brochures (50,000 @ $ .05 ea) = $ 2,500 Video production = $19,800 Video Reproduction = $ 3,500 NF Respite Training Manual reproduction $3/manual x $2000 manuals = $ 6,000 Postage $150/mo x 12 months = $ 1,800 Caregiver Forum meeting room rentals $200/day x 12 forums = $ 2,400 Respite Training Scholarships = $1,600
Indirect Charges	0	0	0	0	None
TOTAL	$265,700	$60,800	$27,767	$354,267	

75% of Total Cost

(Federal $)

25% of Total Cost

(Required Match)

Budget Justification – Page 1 – Sample Format

Object Class Category	**Federal Funds**	**Non-Federal Cash**	**Non-Federal In-Kind**	**TOTAL**	Justification
Personnel					
Fringe Benefits					
Travel					
Equipment					

Budget Justification – Page 2 – Sample Format

Object Class Category	**Federal Funds**	**Non-Federal Cash**	**Non-Federal In-Kind**	**TOTAL**	Justification
Supplies					
Contractual					
Other					
Indirect Charges					
TOTAL					

Project Work Plan, Page 1 – Sample Format

Goal:

Measurable Outcome(s):

Major Objectives	Key Tasks	Lead Person	Timeframe (Start and End Date by Month)											
1.														
2.														

Project Work Plan, Page 2 – Sample Format

Major Objectives	Key Tasks	Lead Person	Timeframe (Start and End Date by Month)											
			1	2	3	4	5	6	7	8	9	10	11	12
3.														
4.														

Project Work Plan, Page 3 – Sample Format

Major Objectives	Key Tasks	Lead Person	Timeframe (Start and End Date by Month)											
			1	2	3	4	5	6	7	8	9	10	11	12
5.														
6.														

NOTE: Please do note infer from this sample format that your work plan must have 6 major objectives. If you need more pages, simply repeat this format on additional pages.

Grant Application Package Checklist

The checklist below identifies the items that must be included in your mail-in application submission. Please check-off each item to ensure your submission is complete, and includes a copy of the completed checklist in your application package. The components of your submission should be ordered in the same sequence as the items listed below.

I have checked my application package to ensure that it includes:

- ❑ One original application plus two copies, with the SF 424 as the first page of each copy of the application.
- ❑ SF 424.
- ❑ SF 424A.
- ❑ Budget Justification.
- ❑ SF 424B.
- ❑ SF CD-511. Be sure this form is completed according to the instructions, signed and dated by the authorized representative (see item 18d on SF 424).
- ❑ A copy of the current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency.
- ❑ Project Narrative.
- ❑ Completed Grant Application Package Checklist
- ❑ Receipt of Application Acknowledgement Card (Optional)